

FORM PTO-1390 (Modified)
(REV 11-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

11-11-007

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

09/581005

INTERNATIONAL APPLICATION NO.

PCT/EP98/08696

INTERNATIONAL FILING DATE

December 11, 1998

PRIORITY DATE CLAIMED

December 11, 1997

TITLE OF INVENTION

TCG METHOD FOR INDUCTING TARGETED SOMATIC TRANSGENESIS

APPLICANT(S) FOR DO/EO/US

VON EICHEL-STREIBER, Christoph, et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ A copy of the International Search Report (PCT/ISA/210).
8. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 13 to 20 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☒ Certificate of Mailing by Express Mail
20. ☒ Other items or information:

- Letter re: Priority
 - Postcard
 - Genetic Sequence Submission [Computer Readable Copy; Paper Copy; and Statement Verifying Identical Paper and Computer Readable Copy]
 - Submission of Declaration of Deposit with Deposit Receipts
 - Statement Claiming Small Entity Status

U.S. APPLICATION NO. (IF KNOWN, SEE PAGE 09/58100	INTERNATIONAL APPLICATION NO. PCT/EP98/08696	ATTORNEY'S DOCKET NUMBER 113.1007
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21. The following fees are submitted:.

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :

- | | | |
|-------------------------------------|---|-----------------|
| <input type="checkbox"/> | Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO | \$970.00 |
| <input checked="" type="checkbox"/> | International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO | \$840.00 |
| <input type="checkbox"/> | International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO | \$690.00 |
| <input type="checkbox"/> | International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) | \$670.00 |
| <input type="checkbox"/> | International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) | \$96.00 |

ENTER APPROPRIATE BASIC FEE AMOUNT =**CALCULATIONS** PTO USE ONLY

\$840.00

Surcharge of **\$130.00** for furnishing the oath or declaration later than ☐ 20 ☒ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

\$130.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total claims	29 - 20 =	9	x \$18.00	\$162.00
Independent claims	2 - 3 =	0	x \$78.00	\$0.00
Multiple Dependent Claims (check if applicable).			<input type="checkbox"/>	\$0.00

	TOTAL OF ABOVE CALCULATIONS	=	\$1,132.00
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Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable).	<input checked="" type="checkbox"/>	\$566.00
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SUBTOTAL	=	\$566.00
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Processing fee of \$130.00 for furnishing the English translation later than 3 months from the earliest claimed priority date (37 CFR 1.492 (f)).	<input checked="checked" type="checkbox"/> 20 <input type="checkbox"/> 30	+	\$130.00
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TOTAL NATIONAL FEE	=	\$696.00
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Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) **(check if applicable)**. ☐ **\$0.00**

TOTAL FEES ENCLOSED	=	\$696.00
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Amount to be: refunded	\$
charged	\$

- ☒ A check in the amount of **\$696.00** to cover the above fees is enclosed.
- ☐ Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. **50-0552** A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Clifford M. Davidson, Esq.
DAVIDSON, DAVIDSON & KAPPEL
1140 Avenue of the Americas 15th Floor
New York, New York 10036
Tel: (212) 997-1028
Fax: (212) 997-1037

SIGNATURE

William C. Gehris

NAME _____

38,156

REGISTRATION NUMBER

June 6, 2000

DATE _____